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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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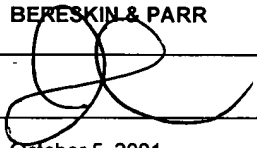
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/874,245	
	<b>Filing Date</b>	June 6, 2001	
	<b>First Named Inventor</b>	James David Smith	
	<b>Group Art Unit</b>	2673	
	<b>Examiner Name</b>	Not Available	
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b>	12310-003

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input checked="" type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input checked="" type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below)
<b>Remarks</b>		<b>Declaration in compliance with 37 CFR 1.63.</b>

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Technology Center 2600

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
<b>Firm or Individual name</b>	BERESKIN & PARR
<b>Signature</b>	
<b>Date</b>	October 5, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>			
<b>Typed or printed name</b>			
<b>Signature</b>		<b>Date</b>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/874,245
Filing Date	June 6, 2001
First Named Inventor	James David Smith
Examiner Name	Not Available
Group Art Unit	2673
Attorney Docket No.	12310-3

TOTAL AMOUNT OF PAYMENT (\$)

65.00

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**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 022095
- Deposit Account Name Bereskin & Parr
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed: \$3181
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370 Utility filing fee	
106	330	206	165 Design filing fee	
107	510	207	255 Plant filing fee	
108	740	208	370 Reissue filing fee	
114	160	214	80 Provisional filing fee	

SUBTOTAL (1) (\$)

0

**2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	=
Independent Claims	-3** =	X	=
Multiple Dependent			

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203	9 Claims in excess of 20
102	84	202	42 Independent claims in excess of 3
104	280	204	140 Multiple dependent claim, if not paid
109	84	209	42 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	65.00
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	400	216	200 Extension for reply within second month	
117	920	217	460 Extension for reply within third month	
118	1,440	218	720 Extension for reply within fourth month	
128	1,960	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,280	241	640 Petition to revive - unintentional	
142	1,280	242	640 Utility issue fee (or reissue)	
143	460	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	740	246	370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify)				
*Reduced by Basic Filing Fee Paid				
SUBTOTAL (3) (\$)				65.00

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Isis E. Caulder	Registration No. (Attorney/Agent)	47,275	Telephone	(416) 364-7311
Signature				Date	October 5, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Barristers and Solicitors/Patent and Trade Mark Agents  
Practice Restricted to Intellectual Property Law

October 5, 2001

Your Reference: 09/874,245  
Our Reference: 12310-003

The Commissioner of Patents  
and Trademarks  
Initial Patent Examination Division  
Washington, D.C.  
20231 U.S.A.

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Patent Center 8000

## RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

- Attention: Initial Patent Examination Division -

Dear Sir:

Re: **United States Patent Application No. 09/874,245**  
**For: SUBSTRATE POSITIONING DEVICE AND METHOD**  
**Applicant: James David Smith and Enrico Ugis Villa**  
**Filed: June 6, 2001**  
**Group Art Unit: 2673**

The applicant acknowledges receipt of the Notice to File Missing Parts of Nonprovisional Application that was mailed on August 7, 2001. At this time, the applicant is enclosing:

1. A copy of the Notice to File Missing Parts of Nonprovisional Application;
2. A Declaration as executed by the inventor; and
3. Formal Drawings on eleven (11) sheets under separate cover to the Drawing Review Branch.

The Response is filed in advance of the two month response period, namely prior to **October 7, 2001** and accordingly should be considered timely filed.

The government fee of \$65.00 is included in our cheque No. 3189, in respect of the filing fee completion requirements. If any additional fees are required, please withdraw them from our deposit account no. 02-2095 or credit any surcharge thereto.

In view of the foregoing, it is respectfully submitted that the filing of this application is now complete.

Respectfully submitted,

SMITH et al.

Isis E. Caulder - Reg'n No. 47,275  
Bereskin & Parr - Customer No. 001059

Encl.  
/ca



Barristers and Solicitors/Patent and Trade Mark Agents  
Practice Restricted to Intellectual Property Law

October 5, 2001

Your Reference: 09/874,245  
Our Reference: 12310-003

The Commissioner of Patents  
and Trademarks  
Washington, D.C.  
20231 U.S.A.

**- Attention: Drawing Review Branch -**

Dear Sir:

**Re: United States Patent Application No. 09/874,245  
For: SUBSTRATE POSITIONING DEVICE AND METHOD  
Applicant: James David Smith and Enrico Ugis Villa  
Filed: June 6, 2001  
Group Art Unit: 2673**

Enclosed are formal drawings on eleven (11) sheets for filing on or before **October 7, 2001**, in connection with the above-noted application. The formal drawings are in the form of high quality xerox copies.

We look forward to receiving confirmation that the drawings have been filed in due course.

Respectfully submitted,

Isis E. Caulder – Registration No. 47,275  
Bereskin & Parr – Customer No. 001059

Encl.  
/ca



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/874,245	06/06/2001	James David Smith	12310-003

CONFIRMATION NO. 5933

## FORMALITIES LETTER



\*OC000000006393008\*

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OCT 09 2001

Isis E. Caulder  
Bereskin & Parr  
Box 401  
40 King Street West  
Toronto, ON M5H 3Y2  
CANADA

Technology Center 2600 Date Mailed: 08/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

10/10/2001 BALEXAND 00000003 09874245

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65.00 OP

A handwritten signature in black ink, appearing to be 'J.R.', is written over a horizontal line.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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